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DOCKET NO.: MS164185.01/MSFTP215US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of

Applicant: **Eric J. Horvitz, et al.**
Serial No.: **09/896,187**
Filed: **June 29, 2001**
For: **SYSTEM AND METHODS FOR INFERRING INFORMATIONAL GOALS AND
PREFERRED LEVEL OF DETAIL OF ANSWERS**
Art Unit: **2654**
Examiner: **Thomas E. Shortledge**

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

1. Pursuant to 37 C.F.R. §1.97 and §1.98, and in compliance with 37 C.F.R. §1.56, the Office's attention is directed to the patents, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for: (a) pending applications; (b) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. §120; and/or (c) U.S. Patent(s) and published applications(s).

Serial No.:	<u>10/185,150</u>	<u>11/047,491</u>
Filing Date:	<u>06/28/2002</u>	<u>01/31/2005</u>

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s):

- (a) ☐ Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.
- (b) ☐ Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".

3. Pursuant to 37 C.F.R. §1.97(b) this Statement is being filed (one must be checked):

- (a) ☐ Within 3 months of the filing date or date of entry into the National Stage.
- (b) ☐ Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R. §1.17(p) to Deposit Account No. 50-1063 for consideration of this Statement.
- (c) ☒ Before the mailing date of an Office Action after the filing of a request for continued examination under 1.114.


- (d) ☐ After the period set forth in 37 C.F.R. §1.97(b) but before the mailing date of either a final action or a notice of allowance.
- (1) ☐ The required certification is given below, or
- (2) ☐ Regarding the fee set forth in 37 C.F.R. §1.17(p) for consideration of this Statement :
- (i) ☐ Enclosed is a check covering the fee;
- (ii) ☐ Charge the fee set forth in 37 C.F.R. §1.17(p) to Deposit Account No. 50-1063; or
- (iii) ☒ Enclosed is a credit card payment form covering the fee.
- (e) ☐ After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below. Regarding the fee set forth in 37 C.F.R. §1.17(i)(1) for consideration of this Statement:
- (1) ☐ Enclosed is a check covering the fee;
- (2) ☐ Charge the fee set forth in 37 C.F.R. §1.17(i)(1) to Deposit Account No. 50-1063; or
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4. Certification (if applicable)

- (a) ☐ The undersigned hereby certifies that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.
- (b) ☐ The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than 3 months prior to the filing of this Statement.

5. The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 50-1063.

Respectfully Submitted,

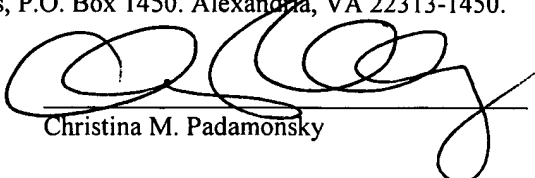
By 
Himanshu S. Amin
Reg. No. 40,894

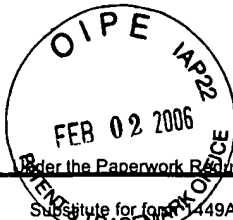
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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1 of 2

Complete if Known

Application Number	09/896,187
Filing Date	June 29, 2001
First Named Inventor	Eric J. Horvitz
Art Unit	2654
Examiner Name	Thomas E. Shortledge
Attorney Docket Number	MS164185.01/MSFTP215US

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
		US- 6,510,406	01-21-2003	Marchisio	
		US- 6,675,159	01-06-2004	Lin, et al.	
		US- 6,950,753	09-27-2005	Rzhetsky, et al.	
		US- 5,239,617	08-24-1993	Gardner, et al.	
		US- 5,369,575	11-29-1994	Lamberti, et al.	
		US- 5,864,848	01-26-1999	Horvitz, et al.	
		US- 5,390,281	02-14-1995	Luciw, et al.	
		US- 2002/0078091	06-20-2002	Vu, et al.	
		US- 2002/0169764	11-14-2002	Kincaid, et al.	
		US- 6,076,088	06-13-2000	Paik, et al.	
		US- 6,112,168	08-29-2000	Corston, et al.	
		US- 6,615,172	09-02-2003	Bennett, et al.	
		US- 6,205,456	03-20-2001	Nakao	
		US- 6,687,696	02-03-2004	Hofmann, et al.	
		US-			
		US-			
		US-			
		US-			

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				

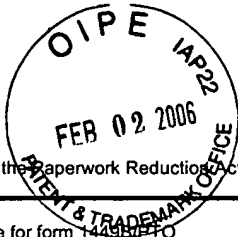
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This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**SUPPLEMENTAL
INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

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First Named Inventor	Eric J. Horvitz
Art Unit	2654
Examiner Name	Thomas E. Shortledge
Attorney Docket Number	MS164185.01/MSFTP215US

Sheet	2	of	2
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NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		FERRET, et al., "QALC - the Questioning-Answering Program of the Language and Cognition Group at LIMSI-CNRS", Proceedings of the Eighth Text Retrieval Conference (TREC-8), 1999, pp. 1-10.	
		PRAGER, et al., "Question-Answering by Predictive Annotation", Proceeding of SIGIR 2000, 2000, pp. 184-191.	
		D. NIEDERMAYER. An Introduction to Bayesian Networks and their Contemporary Applications. December 1, 1998. Available at: http://www.niedermayer.ca/papers/bayesian/index.html 14 pages. Last viewed on July 18, 2005.	
		C.E. RASMUSSEN. NEuroNet Roadmap: Future Prospects for Neural Networks. Last Updated on March 21, 2001. http://www.kcl.ac.uk/neuronet/about/roadmap/bayesian.html 4 pages.	
		C. WALSH. "Bayesian Approach," Bayesian Modelling of Short Fatigue Crack Growth and Coalescence. Trinity College of Dublin Doctoral Thesis, October 1999. 4 pages.	
		I. ZUCKERMAN and E. HORVITZ. Toward Understanding WH-Questions: A Statistical Analysis. Workshop on Machine Learning, Information Retrieval, and User Modeling, Workshop on Machine Learning, Information Retrieval, and User Modeling, July 2001. 10 pages.	
		E. HORVITZ, et al. The Lumiere Project: Bayesian User Modeling for Inferring the Goals and Needs of Software Users. In Proc. of the Fourteenth Conference on Uncertainty in Artificial Intelligence, pp. 256-265, July 1998.	
		D. HECKERMAN and E. HORVITZ. Inferring Informational Goals from Free-text Queries: A Bayesian Approach. In Proc. of the Fourteenth Conference on Uncertainty in Artificial Intelligence, pp. 230-237, July 1998.	
		E. HORVITZ and T. LAU. Patterns of Search: Analyzing and Modeling Web Query Refinement. In Proc. of the Seventh International Conference on User Modeling, pp. 119-128, June 1999.	

Examiner
SignatureDate
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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